

California Implementation Guidelines For The National Incident Management System

Workbook and User Manual

*Prepared For:
The California
Emergency
Management
Community*

*By:
The Standardized
Emergency
Management
Maintenance System*



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This document was developed under the direction of the SEMS Maintenance System. The SEMS Maintenance System consists of the SEMS Advisory Board, Technical Group, Mutual Aid Regional Advisory Committees (six representing the six statewide mutual regions) and the Specialist Committees created by the Technical Group to lend their expertise to addressing specific National Incident Management System (NIMS) requirements.

The SEMS Advisory Board consists of Secretaries and Directors from the following:

- FEMA Region IX
- Resources Agency
- Health & Human Services Agency
- Business, Transportation & Housing Agency
- California Department of Food and Agriculture Department
- State and Consumer Services Agency
- California Environmental Protection Agency
- Office of Homeland Security
- Mutual Aid Regional Advisory Committees (representatives)
- California Military Department

The SEMS Technical Group consists of staff-level representatives from the following:

- Office of Homeland Security
- Emergency Medical Services Authority
- Department of Mental Health
- California Environmental Protection Agency
- Department of Toxics Substances Control (part of California Environmental Protection Agency)
- Water Resources Control Board (part of California Environmental Protection Agency)
- California Service Corps
- California Highway Patrol
- California Department of Food and Agriculture
- California Conservation Corps
- California National Guard
- Department of General Services
- Department of Parks and Recreation
- University of California
- Department of Fish and Game
- Department of Health Services
- Department of Transportation (Cal Trans)
- Department of Social Services
- Department of Rehabilitation

- Department of Water Resources
- Police Officers Standards and Training (POST)
- FEMA Region IX
- Mutual Aid Regional Advisory Committees (6)
- American Red Cross
- Picayune Rancheria of the Chukchansi Indians
- Hoopa Valley Rancheria
- Table Mountain Rancheria
- Robinson Rancheria
- Cher-Ae Heights Indian Community of the Trinidad Rancheria
- Trinidad Rancheria
- San Manuel Band of Mission Indians
- Susanville Indian Rancheria
- Yurok Tribe of California
- Pechanga Band of Luiseño Mission Indians
- Rumsey Rancheria
- California Hospital Association
- Business Executives for National Security (BENS)
- California Conference of Local Public Health Officials
- California Chiefs of Police
- California Sheriff's Association
- California Emergency Services Association (CESA)
- California Utilities Emergency Association (CUEA)
- California College and Police Chief's Association
- FIREScope (Firefighting Resources of Southern California Organized for Potential Emergencies)

Representatives from the SEMS Technical Group formed the basis of the following SEMS Specialist Committees who contributed materials to this document.

- After Action/Corrective Action
- Training and Exercises
- Credentialing
- Volunteer/Services Programs & Non-Governmental Organizations (NGO)
- Private Sector
- Resource Management
- Tribal Government
- Recovery
- Mitigation
- Public Information

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SECTION I: Preface

The Governor's Office of Emergency Services (OES) is responsible for coordinating and monitoring the overall statewide integration of the Standardized Emergency Management System (SEMS) and the National Incident Management System (NIMS) to meet federal NIMS requirements and timeframes. NIMS was developed by the federal Department of Homeland Security (DHS) pursuant to Homeland Security Presidential Directive/HSPD-5 to ensure that all levels of government across the nation have the capability to work efficiently and effectively together, using a national approach to domestic incident management.

As a state we are addressing the FY 2006 NIMS requirements through the SEMS Maintenance System as set forth in Governor's Executive Order S-02-05. This system provides a forum for addressing statewide NIMS implementation through its cross-jurisdictional and cross-disciplinary structure of the Advisory Board, Technical Group, Specialist Committees, and Mutual Aid Regional Advisory Committees (MARACs). Specialist Committees serve as ad hoc groups of specialists that focus on single issues for resolution. There are five Specialist Committees currently addressing SEMS/NIMS integration: After Action/Corrective Action, Credentialing, Non-governmental (NGO) and Private sector, Resource Management, Training and Exercises. OES has recently activated four additional Specialist Committees -- Mitigation, Public Information, Recovery, and Tribal Government. Subsequent to the initial preparation of this document, the NGO and Private Sector Specialist Committee separated into two Specialist Committees, the Private Sector Specialist Committee and the Volunteer Specialist Committee.

In order to qualify for FY 2006 federal preparedness funds, DHS required states to meet several NIMS requirements by September 30, 2005. California's established SEMS on which NIMS was based provided California the means for meeting FY 2005 NIMS requirements. In September 2005, OES and the Office of Homeland Security (OHS) jointly transmitted the State of California's self-certification letter to DHS. This letter was based upon the state's collective efforts on SEMS/NIMS integration and ensured that California was eligible for FY 2006 State Homeland Security Grant Program funds.

DHS has specified NIMS requirements that states, local jurisdictions, and tribal governments must meet to be NIMS compliant in FY 2006. The specific NIMS requirements for state, local, and tribal governments are listed in the individual sections in this User's Manual. The Specialist Committees have developed this User's Manual to provide state, local, and tribal governments with policy guidance and supporting materials related to the NIMS requirements.

On January 26, 2006, the Specialist Committee Chairs presented an outline of their proposed guidance documents to the SEMS Advisory Board to obtain concurrence on the type of guidance being developed. Additionally, they presented the State's strategy for NIMS compliance. The Advisory Board stressed that the guidance materials should be

developed and distributed on an expedited basis to provide time to implement the FY 2006 NIMS requirements by the September 30, 2006 deadline.

To ensure the final guidance will meet the needs of state, local, and tribal governments, the materials were beta-tested on March 23, 2006 with a cross section of representatives from these organizations as well as the private and non-governmental sector. The guidance materials have been edited based on the comments received during the beta-testing process. The revised guidance materials were presented to the SEMS Technical Group, and were subsequently approved by the SEMS Advisory Board on April 26, 2006.

Following the Advisory Board approval, the final guidance materials presented in this User's Manual were revised to incorporate the Advisory Board members' comments prior to distribution to all local governments, state agencies responsible for responding to emergencies, and tribal governments to assist them with implementing the FY 2006 NIMS requirements. OES held regional workshops throughout 2006 to roll out the guidance materials and to provide technical advice. State OES regional representatives are also available to provide technical advice as needed.

How to Use This Workbook

Whether you are a local government, state agency, or tribal government, the purpose of this manual and workbook is to provide you with a road map on how to comply with the FY 2006 NIMS requirements.

The process through which California will accomplish NIMS compliance throughout the State is listed in Section II of this document. This section describes the State's strategy for NIMS compliance based upon SEMS system enhancement and the monitoring of compliance progress in the state.

Materials presented in Sections III, IV and V address specific federal FY 2006 requirements for state agencies, local governments, and tribal governments respectively. Within each of these sections, the specific FY 2006 NIMS requirements for that level of government are identified and a checklist for each component is included.

Section VI is a compilation of a variety of supporting materials that may pertain to some or all of the levels of state, local, and tribal governments.

To assist your organization with NIMS implementation, you are highly encouraged to assemble a small cross-sector team representing fire services, law enforcement, emergency management, public health/emergency medical services, public works personnel, tribal government, NGO, private sector, and volunteer.

Should you need additional help with this workbook in addressing NIMS compliance, please feel free to contact a California Governor's Office of Emergency Services Regional Office for further assistance below. State agencies should contact OES Preparedness Branch.

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SECTION II: NIMS Compliance

Overview

NIMS Compliance in California

NIMS compliance for California consists of integrating SEMS and NIMS to the extent possible consistent with the Governor's Executive Order S-02-05, which directed the Governor's Office of Homeland Security (OHS) and the Governor's Office of Emergency Services (OES) to direct this effort through the SEMS Advisory Board. SEMS includes the incident command system (ICS) at the field level and other components, such as mutual aid and the Operational Area concept.

The SEMS Maintenance System consists of a multi-tiered organization representing the California emergency management community that focuses on continuous improvements to SEMS to ensure the viability of the system. The Maintenance System is composed of the:

- Advisory Board - Executive level, chaired by the OES Director.
- Technical Group – Management level, chaired by the OES Chief Deputy Director.
- Specialist Committees - Ad hoc groups directed to address specific issues, composed of expertise necessary to the task. Chairs are determined by the Technical Group Chair at the direction of the OES Director.
- Mutual Aid Regional Advisory Committees (MARACs) - There are six MARACs that correspond to the six mutual aid regions. MARAC composition is that of emergency response agencies within the OES Region, to include tribal governments that are within the OES Region; committees are chaired by the OES Regional Administrator or their designee. *Note: Tribal governments being Sovereign Nations are not required to comply with SEMS, but benefit from coordination through the SEMS Maintenance System with local and state counterpart emergency response organizations.*

The SEMS Advisory Board directed the SEMS Technical Group to spearhead the integration of SEMS and NIMS at the SEMS Advisory Board meeting March 24, 2005. The SEMS Technical Group then formed Specialist Committees oriented toward developing materials to assist in meeting the most immediate NIMS requirements.

These requirements were initially identified in the seminal document, *National Incident Management System, March 1, 2004, U.S. Department of Homeland Security*. This document was followed by the release of the *National Incident Management System Capability Assessment Support Tool (NIMCAST)*, an on-line tool used to determine current level of compliance, in June 2004. NIMS components identified in these materials formed the rationale for the creation of the following Specialist Committees:

1. After Action/Corrective Action- requires after-action and corrective actions for not only emergency responses but also planned events and exercises.

2. Emergency Management Credentialing- addresses a credentialing and qualifications standard for emergency responders to facilitate mutual aid.
3. Mitigation- ensuring mitigation measures are addressed at all levels to reduce vulnerability to hazards.
4. Private Sector; Volunteer, Voluntary and Service Sector--inclusion of private sector, non-governmental and volunteer/voluntary organizations in all phases of emergency management.
5. Public Information - incorporates the concept of a Joint Information System and Joint Information Centers to ensure uniform and consistent information releases.
6. Recovery - development of uniform processes for meeting the recovery needs of impacted jurisdictions.
7. Resource Management - involves inventorying, typing, tracking, ordering and replenishing resources.
8. Training & Exercise - ensuring appropriate training and exercises.
9. Tribal Government - inclusion and coordination with tribal governments in all phases of emergency management.

On September 8, 2004, the Secretary of the DHS released a letter to Governors identifying specific NIMS compliance requirements for FY 2005. This represented recognition by the Department of Homeland Security that complete adoption and institutionalization of NIMS in 2005 could not be accomplished and that FY 2005 would represent a "ramp-up" year. FY 2005 requirements were established for states and territories.

On October 4, 2005, the Secretary of the DHS released a letter to Governor's identifying the specific NIMS compliance requirements for FY 2006. The materials developed by the Specialist Committees focus primarily on assisting state, local, and tribal governments meet the NIMS FY 2006 requirements. The federal FY 2006 ends on September 30, 2006.

Materials developed by the Specialist Committees were provided to stakeholders through regional workshops that were open to the emergency management community during July and August 2006. Concurrently, materials were placed on the OES website. Additional workshops will be presented as needed and technical assistance is available through the OES Regions and the Preparedness and Training Branches.

Tribal Nations Partnership

All Tribal governments within California's borders are viewed as critical partners in the pursuit of NIMS compliance as well as the ongoing refinement of overall emergency management techniques and coordination. With their status as independent Sovereign Nations, Tribal governments are not specifically required to comply with the elements of SEMS but are highly encouraged to do so in order to enhance and strengthen statewide response systems. Significant work has already been accomplished by many Tribal Nations towards NIMS compliance, as well as the integration of SEMS principles--of which much of NIMS is derived. California is committed to this partnership in support of

strong emergency collaboration and is engaged with the Tribes to accomplish this goal in many ways, including:

- Supporting a Specialist Committee dedicated to Tribal Nations emergency coordination;
- Offering representation on all Specialist Committees within the SEMS Maintenance System;
- Developing and presenting Technical Assistance Workshops specifically for Tribal Nations and;
- Creating a robust communications system through the Tribal Nations Specialist Committee that will promote information sharing among and between the Tribes and California's other governmental, private sector, and community-based organizations.

California NIMS Compliance

OES is responsible for ensuring statewide NIMS compliance. To meet this requirement OES developed a process of certification consistent with the October 4, 2005, letter to Governors from the federal DHS. The letter stated that at the end of FY 2006 (September 30, 2006), States and Territories must submit a self-certification form attesting that the State, including its tribal and local jurisdictions, has met the minimum FY 2006 NIMS requirements. State certification is required to receive FY 2007 federal preparedness funds. In FY 2006, this self-certification will be signed jointly by the OES and OHS.

The State of California, having received concurrence from the SEMS Advisory Board, will use the four components listed below to "self-certify" its compliance with FY 2006 NIMS requirements:

1. SEMS "system" enhancement through SEMS/NIMS integration efforts under the auspices of the SEMS Maintenance System.
2. Use of existing SEMS structure - which follows the local/Operational Area/Regional/State concept to provide a composite view of NIMS compliance in the State.
3. Documentation of NIMS compliance that is required for federal preparedness grants.
4. Use of the National Incident Management Capability Assurance Support Tool (NIMCAST) as the State's baseline assessment to provide an overall view of NIMS compliance.

SEMS "system" enhancement through SEMS/NIMS integration efforts under the auspices of the SEMS Maintenance System.

NIMS consists of the following components: Command and Management, Preparedness, Resource Management, Communications and Information Management, and Supporting Technologies. NIMS is an all-encompassing emergency management system that is oriented toward all phases of emergency management (preparedness, response, recovery, and mitigation) and includes not only federal, state, local, and tribal governments but also private sector, non-governmental and volunteer agencies.

California meets the most critical part of NIMS, the Command and Management portion- Incident Command System -- by virtue of the State's Standardized Emergency Management System. SEMS is based on the same form of Incident Command System (FIREScope and the National Wildfire Coordinating Group) as NIMS.

Although SEMS, through regulation, is focused on response, many preparedness activities identified in NIMS are undertaken under the authority of the Emergency Services Act, such as emergency operations plans development and review.

The State's primary method of fully addressing all NIMS components is to focus on those areas in SEMS that may necessitate an additional level of detail or enhancement of existing concepts to comply with NIMS. This is being accomplished through the SEMS Maintenance System and the nine Specialist Committees which have been convened, in part, to align SEMS and NIMS.

2. Use of existing SEMS structure - which follows the local/Operational Area/Regional/State concept to provide a composite view of NIMS compliance in the State.

The State will also rely upon SEMS and its application of the Operational Area concept to establish a composite view of NIMS compliance. This means that compliance will be viewed as a whole, rather than on the basis of each individual jurisdiction. In its guidance materials, DHS encourages states to support a regional approach to NIMS implementation, acknowledging that some local jurisdictions or tribal governments may not have the resources to implement all elements of NIMS on their own. By working together with other localities in their regions, they will be able to pool their resources to implement NIMS.

Information provided to the OES Regions through the Operational Areas, such as copies of resolutions, emergency plans and procedures, or Operational Area Council reports, will provide additional documentation of compliance and can also identify areas that need additional attention.

Workshops coordinated through the OES Regions can assist in using tools produced by the SEMS Maintenance System to meet NIMS compliance target dates.

3. Documentation of NIMS compliance that is required for federal preparedness grants.

The OHS serves as the State Administering Agency for the purposes of homeland security grant funds. To that end, OHS will demonstrate how its grant strategy and allocation of grant funds encourages and supports NIMS implementation at all organizational levels.

The State will rely on self-certification of applicants for federal preparedness grants through the OHS grant process. In addition, OHS will include NIMS compliance

information as part of the FY 2006 grant guidance for grant applicants. Urban Area Security Initiative (UASI) reports of compliance and strategies will also provide certification support.

State OES administers the Emergency Management Performance Grant (EMPG). The EMPG Guide for local governments includes work elements that address the following NIMS integration items:

- Updating emergency laws, plans and procedures to address NIMS
- Initiating the integration of NIMS into existing emergency plans and procedures
- Completing the NIMCAST baseline assessment
- Formulating a NIMS implementation plan
- Enhancing and coordinating mutual aid programs
- Integrating lessons learned from After Action Reports into documents and procedures, processes
- Promoting business preparedness and mitigation to include NGOs and volunteer organizations
- Ensuring local OES organizations utilize volunteers and volunteer resources
- Ensuring a capability to respond to all hazards including terrorism
- Participating in SEMS/NIMS training
- Establishing and implementing an all-hazards, progressive exercise program
- Completing AAR and implementing Corrective Actions
- Enhancing communications and warning systems and the ability to rapidly assess threats
- Develop an emergency public information system.

4. Use of NIMCAST as the State's baseline assessment to provide an overall view of NIMS compliance.

The State elected to use NIMCAST as the tool to establish a state baseline assessment for NIMS compliance. Those entities to be included in the official state assessment include counties, UASI cities, City of Fresno, key state agencies in the State Emergency Plan, and those tribal governments that choose to participate.

Certification will include review and analysis of NIMCAST responses by state, local and tribal governments. NIMCAST will be the vehicle to establish the state baseline and to then measure the State's progress for NIMS compliance by way of annual updates.